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\* Admitted only in Maryland  
\* Admitted only in Virginia  
\* Practice Limited to  
Federal Agencies

September 23, 2003

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RECEIVED**  
SEP 29 2003  
**GROUP 3600**

**Art Unit 3621**

Re: U.S. Utility Patent Application  
Appl. No. 09/641,394; Filed: August 18, 2000  
For: **A Method, System and Computer Program Product for Valuating  
Natural Gas Contracts Using Weather-Based Metrics**  
Inventors: Machado Jr., *et al.*  
Our Ref: 1481.0240000/MAM/TAD

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fee Transmittal (Form PTO/SB/17);
2. An Information Disclosure Statement (IDS);
3. Forms PTO-1449 (13 pages) with 76 accompanying documents;
4. Return postcard; and
5. Form PTO-2038 Credit Card Payment Form in the amount of \$ 180.00 to cover Information Disclosure fees under 37 C.F.R. § 1.17.

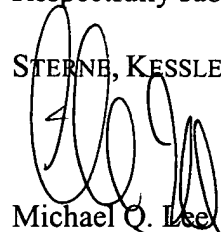
It is respectfully requested that the attached postcards be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
September 23, 2003  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

MAM/TAD:slw  
Enclosures

::ODMA\MHODMA\SKGF\_DC1;180650;1  
SKGF Rev. 2/15/02 dcw; 4/18/03 svb

**FEE TRANSMITTAL**

SEP 23 2003

**for FY 2003**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$180.00)****Complete if Known**

Application Number	09/641,394
Filing Date	August 18, 2000
First Named Inventor	Robert C. Machado, Jr.
Examiner Name	Winter, J.
Group Art Unit	3621
Attorney Docket No.	1481.0240000

**METHOD OF PAYMENT (check all that apply)**☐ Check ☒ Credit card ☐ Money Order ☒ Other\*\* ☐ None☐ Deposit Account  
Deposit Account Number 19-0036

Deposit Account Name: Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

**The Commissioner is authorized to: (check all that apply)**☒ Charge fee(s) indicated below ☒ Credit any over payments  
☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

\*\* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1502	50	2052	25	Surcharge-late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180.00)

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1105	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$0)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Extra	Fee from below	Fee Paid
Total Claims 6 - 20** = 0	X 9.00	= 0
Indep. Claims 3 - 3** = 0	X 42.00	= 0
Multiple Dependent	140.00	= 0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0)

\*\*or number previously paid, if greater; For Reissue, see above

**SUBMITTED BY**

Name (Print/Type)

Michael Q. Lee

Registration No.  
(Attorney/Agent)

35,239

Complete (if applicable)

Telephone

202-371-2600

Signature

Date

9/23/03

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2. SKGF\_DC1:17800.1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Machado Jr. *et al.*

Appl. No. 09/641,394

Filed: August 18, 2000

For: **A Method, System and Computer  
Program Product for Valuating  
Natural Gas Contracts Using  
Weather-Based Metrics**

Confirmation No. 7165

Art Unit: 3621

Examiner: Winter, J.

Atty. Docket: 1481.0240000

**Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**RECEIVED**

SEP 2 9 2003

**GROUP 3600**

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 0001. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☐ 0002. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

- ☒ 0003. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☒ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 0004. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior

to the filing of this Information Disclosure Statement. 37 C.F.R.  
§ 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 0005. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☒ 0006. A concise explanation of the relevance of the non-English language documents appears below:
- Document AL1 (JP 1-236396) appears to describe a method for collecting data for a sales management system. A copy of the English abstract of document AL1 is enclosed as document AT9.
- Document AM1 (JP 1-259488) appears to describe a system for forecasting a commodity sales number. A copy of the English abstract of document AM1 is enclosed as document AR10.
- Document AN1 (JP 2-268396) appears to describe a commodity ordering quantity determining device. A copy of the English abstract of document AN1 is enclosed as document AS10.
- Document AO1 (JP 2-299059) appears to describe an ordering prediction system. A copy of the English abstract of document AO1 is enclosed as document AT10.
- Document AP1 (JP 4-77896) appears to describe a sales controller. A copy of the English abstract of document AP1 is enclosed as document AR11.

Document AL2 (JP 4-135271) appears to describe a merchandise ordering determination device. A copy of the English abstract of document AL2 is enclosed as document AS11.

Document AM2 (JP 4-353970) appears to describe a system for predicting optimum stocking. A copy of the English abstract of document AM2 is enclosed as document AT11.

Document AN2 (JP 5-189406) appears to describe a customer number/sales estimating device using fuzzy inference. A copy of the English abstract of document AN2 is enclosed as document AR12.

Document AO2 (JP 6-76161) appears to describe a device for processing merchandise sales data. A copy of the English abstract of document AO2 is enclosed as document AS12.

Document AP2 (JP 6-149833) appears to describe a device for commodity ordering. A copy of the English abstract of document AP2 is enclosed as document AT12.

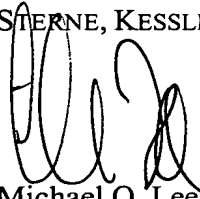
- 0007. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

Date: 9/23/03

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FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1481.0240000APPLICATION NO.  
09/641,394APPLICANTS  
Machado Jr. et al.FILING DATE  
August 18, 2000GROUP  
3621**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1	3,808,410	04/1974	Schlesinger	235	156	
	AB1	4,015,366	04/1977	Hall, III	47	1	
	AC1	4,040,629	08/1977	Kelly	273	278	
	AD1	4,218,755	08/1980	Root	364	900	
	AE1	4,766,539	08/1988	Fox	364	401	
	AF1	4,784,150	11/1988	Voorhies et al.	128	402	
	AG1	5,063,506	11/1991	Brockwell et al.	364	402	
	AH1	5,128,861	07/1992	Kagami et al.	364	403	
	AI1	5,128,862	07/1992	Mueller	364	405	
	AJ1	5,130,925	07/1992	Janes et al.	364	420	
	AK1	5,140,523	08/1992	Frankel et al.	364	420	

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL1	01-236396	09/1989	JP	G07G	1/14	
	AM1	01-259488	10/1989	JP	G07G	1/12	
	AN1	02-268396	11/1990	JP	G07G	1/14	
	AO1	02-299059	12/1990	JP	G06F	15/20	
	AP1	04-077896	03/1992	JP	G07G	1/12	

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	1	Banham, R., "Reinsurers Seek Relief in Computer Predictions", August 1993, pp. 14-16, 18-19, XP002082269, p. 14, col. 1, line 1, col. 2, line 29.
	AS	1	Best, D.L. and Pryor, S.P., <i>Air Weather Service Model Output Statistics System Project Report</i> , United States Air Force, Entire Report submitted (October 1983).
	AT	1	Brennan, P.J., "Portfolio Managers Weather Global Risk Management Challenge," <i>Wall Street Computer Review</i> , Dealer's Digest, pp. 20-22, 24, 54 and 56 (October 1989).

EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2	5,168,445	12/1992	Kawashima et al.	364	403	
	AB2	5,189,606	02/1993	Burns et al.	364	401	
	AC2	5,208,665	05/1993	McCalley et al.	358	86	
	AD2	5,237,496	08/1993	Kagami et al.	364	401	
	AE2	5,250,941	10/1993	McGregor et al.	340	825.63	
	AF2	5,253,165	10/1993	Leiseca et al.	364	407	
	AG2	5,283,865	02/1994	Johnson	395	161	
	AH2	5,295,064	03/1994	Malec et al.	364	401	
	AI2	5,295,069	03/1994	Hersey et al.	364	419.17	
	AJ2	5,309,355	05/1994	Lockwood	364	401	
	AK2	5,377,095	12/1994	Maeda et al.	364	401	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2	04-135271	05/1992	JP	G06F	15/21	
	AM2	04-353970	12/1992	JP	G06F	15/24	
	AN2	05-189406	07/1993	JP	G06F	15/20	
	AO2	06-076161	03/1994	JP	G07G	1/06	
	AP2	06-149833	05/1994	JP	G06F	15/21	

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Cave, T., "Weather Service Is A Boon To System Dispatchers," <i>Transmission &amp; Distribution</i> , Intertec, pp. 165-166 and 168-169 (August 1991).
	AS	2	<i>Demand Modeling &amp; Forecasting System Product Description</i> , Printed from DIALOG File No. 256, 1 page (August 1984 - Product Release Date).
	AT	2	<i>Down to Earth Sales Analysis 3.1 Product Description</i> , Printed from DIALOG File No. 256, 1 page (April 1989 - Product Release Date).

EXAMINER

DATE CONSIDERED

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA3	5,491,629	02/1996	Fox et al.	364	20	
	AB3	5,521,813	05/1996	Fox et al.	364	401	
	AC3	5,796,932	08/1998	Fox et al.	395	161	
	AD3	5,832,456	11/1998	Fox et al.	705	10	
	AE3	6,021,402	02/2000	Takriti	705	412	
	AF3	6,418,417	07/2002	Corby et al.	705	35	
	AG3	6,584,447	06/2003	Fox et al.	705	10	
	AH3						
	AI3						
	AJ3						
	AK3						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL3						Yes No
	AM3						Yes No
	AN3						Yes No
	AO3						Yes No
	AP3						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>3</u>	Ehrenberg, A.S.C. et al., "The After-Effects of Price-Related Consumer Promotions", <i>Journal of Advertising Research</i> , Advertising Research Foundation, Vol. 34, No. 4, pp. 11-21 (July/August 1994).
	AS	<u>3</u>	Engle, R.F. et al., "Modelling Peak Electricity Demand", <i>Journal of Forecasting</i> , John Wiley & Sons, Vol. 11, No. 3, pp. 241-251 (April 1992).
	AT	<u>3</u>	Gotschall, Mary G., "Bullish on weather," <i>Electric Perspectives</i> , Washington, Vol. 23, No. 5, p. 30, 8 pgs (September/October 1998).

EXAMINER

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	AA4						
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	AC4						
	AD4						
	AE4						
	AF4						
	AG4						
	AH4						
	AI4						
	AJ4						
	AK4						

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SEP 29 2003  
GROUP 3600

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL4						Yes No
	AM4						Yes No
	AN4						Yes No
	AO4						Yes No
	AP4						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>4</u>	Hunter, R., "Forecast for Weather Derivatives: Hot Derivatives Strategy," May 1999, pp. 1-6, XP002133864, as printed from <a href="http://derivatives.com/magazine/arrive/1998/0598feal.asp">http://derivatives.com/magazine/arrive/1998/0598feal.asp</a> p. 1, line 1--p. 6, line 9.
	AS	<u>4</u>	Hurrell, M., "The Weather Business," <i>Intercity</i> , pp. 29, 31 and 32 (February 1991).
	AT	<u>4</u>	IMREX Demand Forecasting System Product Description, Printed from DIALOG File No. 256, 1 page (1984 - Product Release Date).

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INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1481.0240000APPLICATION NO.  
09/641,394APPLICANTS  
Machado Jr. et al.FILING DATE  
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3621

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
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## FOREIGN PATENT DOCUMENTS

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	AL5						Yes No
	AM5						Yes No
	AN5						Yes No
	AO5						Yes No
	AP5						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>5</u>	Jensen, C. and Anderson, L. <i>Harvard Graphics: The Complete Reference</i> , Osborne McGraw-Hill, pp. 5, 16, 17, 126-129 and 737-747 (1990).
	AS	<u>5</u>	Lucchetti, A., "Cold Winter On the Way? Some bet on it," <i>Wall Street Journal</i> , November 6, 1997.
	AT	<u>5</u>	Malliaris, M., "Beating the Best: A Neutral Network Challenges the Black-Scholes Formula," <i>Proceedings of the Conference on Artificial Intelligence for Applications</i> , US, Los Alamitos, IEEE Comp. Soc. Press, 1993, pp. 445-449, XP000379639, ISBN: 0-8186-3840-0, p. 445, col., 1, line 16, p. 446, col. 1, line 17.

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## FOREIGN PATENT DOCUMENTS

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	AL6						Yes No
	AM6						Yes No
	AN6						Yes No
	AO6						Yes No
	AP6						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>6</u>	Microsoft Access User's Guide, Microsoft Corporation, pp. 22-27, 36-39, 326-335, 370-372 and 395-447 (1992).
	AS	<u>6</u>	Microsoft Excel User's Guide, Microsoft Corporation, pp. 280-281, 596-601 and 706-709 (1993).
	AT	<u>6</u>	Mitchell, R. et al., "Where No Computer Has Gone Before: Massively Parallel Processing Promises Unparalleled Performance," <i>Business Week</i> , McGraw-Hill, pp. 80-84 and 88 (November 25, 1991).

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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FOREIGN PATENT DOCUMENTS							
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	AL7						Yes No
	AM7						Yes No
	AN7						Yes No
	AO7						Yes No
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>7</u>	"Origins of Option Pricing Techniques," "The Black and Scholes Model," "The Black and Scholes Model," and "Graphs of the Black Scholes Model," as printed from <a href="http://bradley.bradley.edu/about.arr/bsm">http://bradley.bradley.edu/about.arr/bsm</a> , April 9, 1997, (8 pages).
	AS	<u>7</u>	Schwartz, S., "Modeling tools aid in financial risk management," <i>Insurance &amp; Technology</i> , Vol. 21, No. 4, pp. 20-21 (April 1996).
	AT	<u>7</u>	Stix, G., "A Calculus of Risk," <i>Scientific American</i> , pp. 92-97 (May 1998).

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	AL8						Yes No
	AM8						Yes No
	AN8						Yes No
	AO8						Yes No
	AP8						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	8	Studwell, A., "Weather Derivatives," 11 <sup>th</sup> Conference on Applied Climatology, January 10-15, 1999, pp. 36-40, XP00089822, p. 36, col. 1, line 1-p. 40, col. 1, line 33.
	AS	8	The Weather Initiative, (Brochure), The Met Office, 23 pages (1990).
	AT	8	Turvey, C. G., "Weather Derivatives and Specific Event Risk," August, 1999, pp. 1-11, XP002133865, as printed from <a href="http://agecon.lib.umn.edu/aaea99/sp99/sp99/tu02.pdf">http://agecon.lib.umn.edu/aaea99/sp99/sp99/tu02.pdf</a> , p. 2, line 1, p. 8, line 2.

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	AN9						Yes No
	AO9						Yes No
	AP9						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>9</u>	Turvey, Calum, "Weather Derivatives for Specific Event Risks in Agriculture," <i>Review of Agricultural Economics</i> , American Agricultural Economics Association, Vol. 23, No. 2, pp. 333-51 (Spring/Summer 2001).
	AS	<u>9</u>	Upbin, B., "Betting against God," <i>Forbes</i> , Vol. 162, No. 1, p. 108(1) (July 6, 1998).
	AT	<u>9</u>	English-language Abstract of Japanese Patent Publication No. 01-236396, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (September 21, 1989 - Date of publication of application).

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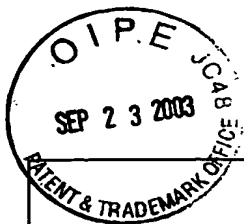
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	AN9						Yes No
	AO9						Yes No
	AP9						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>10</u>	English-language Abstract of Japanese Patent Publication No. 01-259488, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (October 17, 1989 - Date of publication of application).
	AS	<u>10</u>	English-language Abstract of Japanese Patent Publication No. 02-268396, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (November 2, 1990 - Date of publication of application).
	AT	<u>10</u>	English-language Abstract of Japanese Patent Publication No. 02-299059, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (December 11, 1990 - Date of publication of application).

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3621**U.S. PATENT DOCUMENTS**

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	AN9						Yes No
	AO9						Yes No
	AP9						Yes No

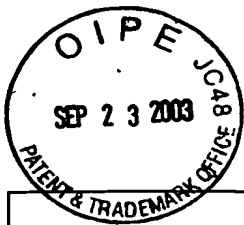
**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR	<u>11</u>	English-language Abstract of Japanese Patent Publication No. 04-077896, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (March 11, 1992 - Date of publication of application).
	AS	<u>11</u>	English-language Abstract of Japanese Patent Publication No. 04-135271, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (May 8, 1992 - Date of publication of application).
	AT	<u>11</u>	English-language Abstract of Japanese Patent Publication No. 04-353970, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (December 8, 1992 - Date of publication of application).

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	AM9						Yes No
	AN9						Yes No
	AO9						Yes No
	AP9						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>12</u>	English-language Abstract of Japanese Patent Publication No. 05-189406, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (July 30, 1993 - Date of publication of application).
	AS	<u>12</u>	English-language Abstract of Japanese Patent Publication No. 06-076161, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (March 18, 1994 - Date of publication of application).
	AT	<u>12</u>	English-language Abstract of Japanese Patent Publication No. 06-149833, from <a href="http://www1.ipdl.jpo.go.jp">http://www1.ipdl.jpo.go.jp</a> , 1 Page (May 31, 1994 - Date of publication of application).

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	AM9						Yes No
	AN9						Yes No
	AO9						Yes No
	AP9						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>13</u>	Copy of International Search Report from PCT Appl. No. PCT/US99/23452, 5 pages, mailed Jun. 4, 2000.
	AS	<u>13</u>	
	AT	<u>13</u>	

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